
**State of Washington
Summary Schedule of Prior Audit Findings
For Years Prior to Fiscal Year 2002**

***OMB Circular A-133 Audit
For the Fiscal Year Ended
June 30, 2002***

(This schedule only addresses findings previously reported that would be reportable under the revised OMB Circular A-133.)

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* Indicates completion of corrective action in FY 2001. Details can be found in FY 2001 State of Washington Corrective Action Plan. Listed per requirement of Circular A-133 § __.315 (b)(1).

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** Indicates that Interagency Committee for Outdoor Recreation (IAC) completed corrective action in FY 2001. Details can be found in FY 2001 State of Washington Corrective Action Plan. Listed per requirement of Circular A-133, §____.315 (b)(1).

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Western Washington University (WWU)

Fiscal Year	Finding Number	Finding and Corrective Action Plan																		
01	1	<p>Finding: WWU did not comply with federal regulations regarding the use of federal program income from four U.S. Department of Education Grants.</p> <table> <tr> <td>Questioned Costs:</td><td><u>CFDA #</u></td><td><u>Amount</u></td></tr> <tr> <td></td><td>84.264A</td><td>\$ 10,900</td></tr> <tr> <td></td><td>84.264B</td><td>121,890</td></tr> <tr> <td></td><td>84.315C</td><td>36,313</td></tr> <tr> <td></td><td>84.129T</td><td><u>10,846</u></td></tr> <tr> <td></td><td>Total</td><td>\$179,949</td></tr> </table> <p>Status: Corrective action completed.</p> <p>Corrective Action: WWU worked with federal Department of Education officials to ensure proper, approved usage of the program income in each grant:</p> <ul style="list-style-type: none"> • 84.129T <i>Distance Learning Through Telecommunications</i> – Program income was spent for grant purposes prior to final expenditure of federal funds. Grant is now closed. • 84.315C <i>Capacity Building for Traditionally Underserved Populations</i> – Grant was extended one year with permission to carry forward program income. WWU is to expend the program income according to an approved plan by the end of the extension period. • 84.264A <i>Rehabilitation Training-Continuing Education</i> – Permission was granted to carry forward program income and spend concurrently with federal funds. All program income has now been expended. • 84.264B <i>Rehabilitation Training-RRCEP Community</i> – Permission was granted to carry forward program income and spend concurrently with federal funds. <p>WWU also amended its grant administration procedures to conform to federal regulations regarding the use of program income.</p> <p>Completion Date: September 30, 2002</p>	Questioned Costs:	<u>CFDA #</u>	<u>Amount</u>		84.264A	\$ 10,900		84.264B	121,890		84.315C	36,313		84.129T	<u>10,846</u>		Total	\$179,949
Questioned Costs:	<u>CFDA #</u>	<u>Amount</u>																		
	84.264A	\$ 10,900																		
	84.264B	121,890																		
	84.315C	36,313																		
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University of Washington (UW)

Fiscal Year	Finding Number	Finding and Corrective Action Plan
01	2	<p>Finding: Public Funds were misappropriated and payroll documents falsified at the University's Diabetes Endocrinology Research Center.</p> <p>Questioned <u>CFDA #</u> <u>Amount</u> Costs: 93.847 \$38,966</p> <p>Status: The UW has completed its corrective action pending determinations by the state Executive Ethics Board and King County Prosecutor's Office on possible pursuit of criminal or civil charges.</p> <p>Corrective Action: As noted in the original Corrective Action Plan, total restitution of the misappropriated amounts was made. Three issues remained:</p> <ol style="list-style-type: none"> Both the state Executive Ethics Board and the King County Prosecutor's Office were conducting reviews to determine if criminal or civil charges were appropriate. Based on these determinations the University was going to support whatever actions were recommended. <i>The UW has not been notified of final decisions made by either of these offices.</i> The University's Human Resources Office was going to work with the School of Medicine and the School of Public Health to draft letters of reprimand to be sent to management staff and the Principal Investigator named in the audit. <i>Letters of reprimand were issued to the employee, management staff and the Principal Investigator.</i> The two schools were going to facilitate training regarding State Ethic Laws. The letters of reprimand would require such attendance. <i>Six employees were mandated to attend training in State Ethics Laws. One has left the University and moved to California. Two completed the UW ethics class offered by Training and Development on 11/15/02. Three employees completed training in State Ethics Laws on 11/20/02.</i> <p>Completion Date: November 20, 2002</p>

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Employment Security Department (ESD)

Fiscal Year	Finding Number	Finding and Corrective Action Plan		
01	4	Finding:	The Employment Security Department did not comply with regulations for allowable and allocable costs for six of its federal programs.	
		Questioned Costs:	<u>CFDA #</u>	<u>Amount</u>
			17.002	\$ 43,392
			17.207	131,782
			17.225	363,799
			17.245	52,087
			17.255	16,819
			17.257	<u>15,703</u>
			Total	\$623,582
		Status:	Corrective action in progress.	
		Corrective Action:	Time charging methodologies have been modified to ensure they are in compliance with federal cost principles. Ongoing monitoring in Labor Market and Economic Analysis Branch (LMEA) is occurring to ensure appropriate time charging. DOL has not yet initiated resolution of the questioned costs.	
		Completion Date:	Pending DOL management decision.	

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Employment Security Department (ESD)

Fiscal Year	Finding Number	Finding and Corrective Action Plan	
01	5	<p>Finding: The Employment Security Department is not complying with client eligibility requirements for the Unemployment Insurance Program.</p> <p>Questioned <u>CFDA #</u> <u>Amount</u></p> <p>Costs: 17.225 \$0</p> <p>Status: Corrective action completed.</p> <p>Corrective Action: The agency has implemented the remaining corrective action regarding investigation of claims using improper social security numbers. DOL has provided guidance to the State Auditor's Office indicating that second notices to non-responding employers are not required. The agency is continuing to seek sufficient funding from the legislature to ensure the integrity of the Unemployment Insurance program is maintained.</p> <p>Completion Date: September 2002</p>	

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Employment Security Department (ESD)

Fiscal Year	Finding Number	Finding and Corrective Action Plan		
01	6	Finding:	The Employment Security Department did not comply with cash management regulations for three federal programs.	
		Questioned Costs:	<u>CFDA #</u>	<u>Amount</u>
			17.207	\$0
			17.225	\$0
			17.245	\$0
		Status:	Corrective action completed.	
		Corrective Action:	The agency implemented improved cash draw processes including monthly reconciliation of draw activities. The agency certified to OFM for fiscal year 2001 they were in compliance with the Cash Management Improvement Act and there was no interest liability for this period.	
		Completion Date:	November 2001	

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Department of Health (DOH)

Fiscal Year	Finding Number	Finding and Corrective Action Plan
01	8	<p>Finding: The Department of Health has not established adequate internal controls over eligibility for the Special Supplemental Nutrition Program for Women, Infants, and Children to ensure compliance with program requirements.</p> <p>Questioned Costs: <u>CFDA #</u> 10.557 <u>Amount</u> \$67,046,972</p> <p>Status: Corrective action partially complete.</p> <p>Corrective Action: The WIC Program sought technical assistance from USDA/FNS and confirmed that photocopies are not required, however DOH has decided to strengthen practice in this area by implementing two new policies:</p> <ul style="list-style-type: none"> • Direct observation of income eligibility determination will occur as a part of every onsite monitor. • For each local agency that photocopies the source of income information used to determine eligibility, the income that is recorded in CIMS will be compared (by random sampling) with the photocopy on file during their onsite monitor. <p>The bug in CIMS that allowed data related to income eligibility to be deleted has been identified, and a bug fix is now being deployed statewide as a part of the fall 2002 new version release. The deployment is over two thirds complete and will be completed by December 31, 2002.</p> <p>Programming is underway to modify CIMS income screen(s) to support a new requirement to record in a consistent location and manner the source documentation used by local WIC staff to determine income eligibility. This change will be deployed with the spring 2003 new version release. Target completion date: May 2003.</p> <p>Completion Date: Estimated, May 2003</p>

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Department of Health (DOH)

Fiscal Year	Finding Number	Finding and Corrective Action Plan		
01	9	Finding:	The Department of Health did not comply with special provisions regarding duplicate and dual payments for the Special Supplemental Nutrition Program for Women, Infants, and Children.	
		Questioned Costs:	<u>CFDA #</u> 10.557	<u>Amount</u> \$0
		Status:	Corrective action completed.	
		Corrective Action:	CIMS reports identifying potential instances of dual payments to clients are run on a regular basis. Staff actively follow up on these reports per established criteria.	
		Completion Date:	September 2002	

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Department of Health (DOH)

Fiscal Year	Finding Number	Finding and Corrective Action Plan					
01	10	Finding:	The Department of Health did not comply with special regulations regarding management evaluations of its subrecipients for the Special Supplemental Nutrition Program for Women, Infants, and Children.				
		Questioned Costs:	<table><tr><td><u>CFDA #</u></td><td><u>Amount</u></td></tr><tr><td>10.557</td><td>\$0</td></tr></table>	<u>CFDA #</u>	<u>Amount</u>	10.557	\$0
<u>CFDA #</u>	<u>Amount</u>						
10.557	\$0						
		Status:	Corrective action completed.				
		Corrective Action:	DOH has completed required onsite, monitoring visits for all local agencies within the past two years. DOH has a process in place to schedule and conduct all required monitoring visits in the future.				
		Completion Date:	September 2002				

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Department of Health (DOH)

Fiscal Year	Finding Number	Finding and Corrective Action Plan
01	11	<p>Finding: The Department of Health overstated expenditures on the Schedule of Expenditures of Federal Awards for the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC).</p> <p>Questioned Costs: <u>CFDA #</u> 10.557 <u>Amount</u> \$0</p> <p>Status: Corrective action completed</p> <p>Corrective Action: Representatives of DOH, USDA's Food and Nutrition and the Washington State Office of Financial Management came to a mutual agreement that the rebate portion of the WIC program should not be included on the Schedule of Expenditures of Federal Awards.</p> <p>However, because the rebate amount is so material to the WIC program, and DOH, as a WIC program administrator, is required to obtain rebate amounts, all parties agreed that the total amount of rebate activity should be disclosed in a note to the Schedule of Expenditures of Federal Awards.</p> <p>The state of Washington is finalizing its Schedule for FY 02 and Note B4 discloses \$24,534,294 in rebate activity.</p> <p>Completion Date: October 31, 2002</p>

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Department of Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan
01	12	<p>Finding: The Department of Social and Health Services' Medical Assistance Administration (MAA) has not established sufficient internal controls to ensure compliance with Medicaid provisions regarding licensing and other eligibility criteria for its health care providers.</p> <p>Questioned Costs: <u>CFDA #</u> 93.778 <u>Amount</u> \$0</p> <p>Status: Corrective action in progress.</p> <p>Corrective Action: Several corrective measures have been completed:</p> <ol style="list-style-type: none"> 1. The Provider Master file has been expanded to allow entry of an entire license number to facilitate comparison to the license number on the Department of Health license database. 2. Since April 2002, the MAA Provider Enrollment unit has been performing quarterly random checks on provider files checking for the accuracy of licenses and other core provider agreement criteria. 3. A new Core Provider Agreement (CPA) was approved for use. The new agreement is now used with all new providers. In addition, the new agreement has been forwarded to all existing providers to be returned by March 2003. 4. A new procedure has been established that directs how MAA receives and processes Health and Safety information received from external sources such as the Department of Health and Aging and Adult Services. 5. Letters were sent to 14 providers who had incomplete information and licenses. They have all responded with the current information and licenses and Provider Enrollment has updated their files. <p>MAA is currently working with their federal funding agency to determine if there are any recalculated unallowable costs charged to Medicaid that would require reimbursement.</p> <p>Completion Date: Estimated, March 2003</p>

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Department of Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan
01	13	<p>Finding: The Department of Social and Health Services' Medical Assistance Administration (MAA) has not established sufficient internal controls to ensure compliance with Medicaid provisions regarding recipient eligibility for health care services.</p> <p>Questioned Costs: <u>CFDA #</u> 93.778 <u>Amount</u> \$27,645</p> <p>Status: Corrective action in progress.</p> <p>Corrective Action: The following corrective actions have, or are, taking place:</p> <ol style="list-style-type: none"> 1. The Medical Eligibility Determination Service (MEDS) reviewed all 27 cases determined to be ineligible by the auditor. They were able to contact 20 households, and based on the income received in the month of review, determined that 15 of the 20 were eligible for Basic Health (BH) Plus Medicaid in the month of review, with 5 determined ineligible. The remaining 7 could not be contacted for lack of current phone numbers or mailing addresses. MEDS is no longer pursuing the 7 households. 2. MEDS met with BH on 1/23/02 and requested BH forward all changes in income, regardless of whether those changes are close to 200% or not, for the eligibility worker to determine whether it requires a follow up action. 3. MAA is working with the Automated Client Eligibility System (ACES) in an attempt to expedite implementation of the populated eligibility review. At last report from ACES, the populated review is slated for promotion in 01/2003 4. MEDS has taken steps to increase the number of BH Plus random reviews, while preparing for implementation of the populated review, from 100 to 400 monthly. With approximately 3,000 BH Plus reviews due monthly, a review of 400 is statistically valid at a 5% confidence level 5. MAA has received verbal verification from its federal funding agency that there is no requirement to return the questioned costs. DSHS has requested written confirmation of this decision. <p>Completion Date: January 2003</p>

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Department of Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan
01	14	<p>Finding: The Department of Social and Health Services' Division of Alcohol and Substance Abuse (DASA) has not established sufficient internal controls over the federal Substance Abuse Prevention and Treatment Block Grant to ensure compliance with program requirements.</p> <p>Questioned <u>CFDA #</u> <u>Amount</u> Costs: 93.959 \$0</p> <p>Status: Corrective action in progress.</p> <p>Corrective Action: <ol style="list-style-type: none"> 1. Comprehensive training about contract monitoring and contract management was originally held on May 21, 2001 for nearly 50 DASA contract management and supervisory staff. This group training is being repeated annually and is available on a one-to-one basis for new staff. 2. DASA has identified one FTE in its current organizational structure to establish a quality assurance function to be established during FY2003. 3. The issue of Suspension and Debarment is addressed under Finding 01-18. </p> <p>Completion Date: December 2002</p>

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Department of Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan
01	15	<p>Finding: The Department of Social and Health Services' Division of Child Support did not comply with regulations for allowable and allocable costs in the Child Support Enforcement program.</p> <p>Questioned Costs: <u>CFDA #</u> 93.563 <u>Amount</u> \$199,859</p> <p>Status: Corrective action in progress.</p> <p>Corrective Action: <ol style="list-style-type: none"> 1. With regard to ensuring compliance with federal payroll documentation regulations, the Division requested, through the Governor's Budget Office, and the Legislature, that state funds be transferred to the Employee Services Division to cover the cost of non-DCS human resource staff charges. This was approved in the FY03 Budget. The Division is currently working with staff to ensure that time sheets or other applicable documentation is completed. 2. In January 2002, the Division began producing detailed quarterly expenditure reports to ensure that payments for fines and penalties are charged to 100% state funded codes. 3. Training was provided to accounts payable staff regarding the necessary documentation needed to make payment, including a review of relevant federal circulars. In addition, written instructions have been provided to appropriate staff. 4. Questioned costs were returned to the Federal Government as reflected on the June 2002, quarterly, federal expenditure report. </p> <p>Completion Date: Estimated, March 2003</p>

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Department of Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan
01	16	<p>Finding: The Department of Social and Health Services' Vocational Rehabilitation Program did not comply with federal regulations regarding client eligibility and allowable costs.</p> <p>Questioned Costs: <u>CFDA #</u> 84.126 <u>Amount</u> \$25,235</p> <p>Status: Corrective action in progress.</p> <p>Corrective Action: The Vocational Rehabilitation program disagreed with the auditor's determination on the three situations and resulting questioned costs and felt no corrective action was necessary. The program received a letter of determination dated November 7, 2002, from the Rehabilitation Services Administration of the Department of Education that provided direction in each situation:</p> <ul style="list-style-type: none"> • <i>Determination of client eligibility</i> – The questioned costs of \$15,768 were not sustained, however, the federal agency concurred with the auditor's recommendation that training on documentation of eligibility needed to be strengthened. • <i>Ensuring proper identification in client eligibility determinations</i> – The questioned costs of \$4,059 were not sustained, however, the federal agency recommended additional training on eligibility requirements to ensure proper identification is obtained. • <i>Proper documentation of client travel costs</i> – The questioned costs of \$5,408 were not sustained, however the federal agency agreed with the auditor that Vocational Rehabilitation' manual needs to be revised to ensure proper receipts or other supporting documentation are obtained for each client's travel expenditures. <p>Vocational Rehabilitation has sixty days to respond to the federal agency on its proposed corrective actions. Corrective actions will include both amendments to the Program's manual and training on eligibility identification and documentation.</p> <p>Completion Date: Estimated, June 2003</p>

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Programs Within the Departments of Ecology and Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan									
01	17	<p>Finding: The State of Washington is not complying with subrecipient monitoring requirements for some of the federal programs it administers.</p> <p><u>Department of Ecology</u></p> <table> <tr> <td>Questioned Costs:</td><td><u>CFDA #</u></td><td><u>Amount</u></td></tr> <tr> <td></td><td>66.458</td><td>\$0</td></tr> <tr> <td></td><td>66.605</td><td>\$0</td></tr> </table> <p>Status: Corrective action completed.</p> <p>Corrective Action: All Ecology agreements were reviewed and all subrecipients were identified. In March 2002, Ecology began sending letters to all subrecipients notifying them of the federal funds they received from Ecology during calendar years 2000 and 2001. The letters contained the following information:</p> <ul style="list-style-type: none"> • A list of every agreement number the subrecipient had with Ecology, the total amount of the agreement and the amount of federal funding included, • A list of every payment they received on each agreement, the date of the payment and the amount of federal funding included in each payment, • The name of the federal awarding agency, the name/title of the federal award and the corresponding CFDA program number that provided federal funding in each agreement, and • A list of the federal regulations that the subrecipient must comply with. Special emphasis was given to OMB Circular A-133 (Single Audit Requirements). <p>On March 26, 2002, an electronic message was sent to all agency project officers. It updated the agency rules for agreements to require:</p> <ul style="list-style-type: none"> • Disclosing required federal information in the source of funds section in all agreements that contain federal funding, and • Including provisions that list the federal requirements that a subrecipient must comply with. <p>Subsequently, Ecology management reviewed the need for additional, new policies and concluded that they were not needed at this time. They also reviewed the resources devoted to subrecipient monitoring and deemed them to be adequate, at this time.</p> <p>Completion Date: June 2002</p>	Questioned Costs:	<u>CFDA #</u>	<u>Amount</u>		66.458	\$0		66.605	\$0
Questioned Costs:	<u>CFDA #</u>	<u>Amount</u>									
	66.458	\$0									
	66.605	\$0									

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Programs Within the Departments of Ecology and Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan									
01	17	<p>Finding: The State of Washington is not complying with subrecipient monitoring requirements for some of the federal programs it administers.</p> <p><u>Department of Social and Health Services (DSHS)</u></p> <table> <tr> <td>Questioned</td><td><u>CFDA #</u></td><td><u>Amount</u></td></tr> <tr> <td>Costs:</td><td>93.563</td><td>\$0</td></tr> <tr> <td></td><td>93.778</td><td>\$0</td></tr> </table> <p>Status: Corrective action in progress.</p> <p>Corrective Action: On March 29, 2002, the State/DSHS received a determination letter from the Office of Audit Resolution and Cost Policy, HHS, that concluded counties were making program determinations in the various programs of DSHS and, as such, were to be viewed as subrecipients. Based on that determination, DSHS is:</p> <ul style="list-style-type: none"> • Currently reviewing subrecipient compliance requirements and drafting guidance for program usage; • Currently reviewing and amending existing agency policies for compliance with subrecipient requirements; and • Individual agency programs are scheduling training on managing and monitoring subrecipients for affected personnel. <p>The DSHS Office of Accounting Services continues to review all audit reports issued by the State Auditors Office (includes counties). If a finding is noted, the entity is contacted and a corrective action plan is requested.</p> <p>Completion Date: Estimated, March 2003</p>	Questioned	<u>CFDA #</u>	<u>Amount</u>	Costs:	93.563	\$0		93.778	\$0
Questioned	<u>CFDA #</u>	<u>Amount</u>									
Costs:	93.563	\$0									
	93.778	\$0									

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Programs Within the Departments of Community, Trade and Economic Development (CTED), Ecology, Fish and Wildlife and Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan	
01	18	<p>Finding: The State of Washington is not complying with suspension and debarment requirements for some of the federal programs it administers.</p> <p><u>Community, Trade and Economic Development</u></p> <p>Questioned Costs: <u>CFDA #</u> 81.042 <u>Amount</u> \$0</p> <p>Status: Corrective action completed.</p> <p>Corrective Action: <ol style="list-style-type: none"> 1. The Weatherization program's standard agreement General Terms and Conditions were amended to bring the language regarding suspension and debarment into compliance with federal regulations. The new agreements were distributed for use in April 2002. 2. The Housing Division, in April 2002, modified its General Work Plan to require all applications to include a certification that the service provider or its principals had not been suspended or debarred. In addition, the Division, in December 2001, collected similar certifications from all 26 of its existing service providing agencies. 3. Beginning in April of 2002, all monitoring of local contractors included checking for compliance with suspension and debarment requirements. The actual monitoring checklist was updated in November of 2002. </p> <p>Completion Date: April 2002</p>	

**State of Washington
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(This schedule only addresses findings previously reported that would be reportable under the revised OMB Circular A-133.)

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Programs Within the Departments of Community, Trade and Economic Development (CTED), Ecology, Fish and Wildlife and Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan				
01	18	<p>Finding:</p> <p>The State of Washington is not complying with suspension and debarment requirements for some of the federal programs it administers.</p> <p><u>Ecology</u></p> <table><tr><td>Questioned Costs:</td><td><u>CFDA #</u> 66.458</td><td><u>Amount</u> \$0</td></tr></table> <p>Status:</p> <p>Corrective Action:</p>	Questioned Costs:	<u>CFDA #</u> 66.458	<u>Amount</u> \$0	<p>Corrective action completed.</p> <p>On August 31, 2001, an electronic message was sent to all employees in Ecology addressing, in particular, any employees participating in negotiating, writing or monitoring of department agreements (contracts, grants or loans). The electronic message included the following information and direction:</p> <ul style="list-style-type: none">• Stressed the importance of meeting federal suspension and debarment compliance requirements to address this finding,• Defined what Department agreements were subject to the suspension and debarment requirements,• Defined what Ecology must do to come into compliance with the federal requirements – Including a standard paragraph in all agreements and collecting a certification statement from all appropriate recipients,• Provided a web site for securing proper blank certification forms, and• Established a policy that no payments would be processed without a signed certification accompanying the signed agreement. <p>On March 26, 2002, a second electronic message was sent to all Ecology project officers providing guidance on subrecipient monitoring responsibilities. This message also reiterated the guidance information on suspension and debarment provided on August 31, 2001. Finally, the message established department policy that all staff working with federal programs must attend federal training classes offered by the State or in-house training sessions conducted by the Ecology Contracts Administrator.</p>
Questioned Costs:	<u>CFDA #</u> 66.458	<u>Amount</u> \$0				
		<p>Completion Date:</p>	<p>June 2002</p>			

State of Washington
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Programs Within the Departments of Community, Trade and Economic Development (CTED), Ecology, Fish and Wildlife and Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan			
01	18	<p>Finding: The State of Washington is not complying with suspension and debarment requirements for some of the federal programs it administers.</p> <p><u>Fish and Wildlife</u></p> <table> <tr> <td>Questioned Costs:</td><td><u>CFDA #</u> 15.608</td><td><u>Amount</u> \$0</td></tr> </table> <p>Status: Corrective action completed</p> <p>Corrective Action: All Contracts Staff have completed the Federal Grant Administration class conducted by the state Office of Financial Management.</p> <p>The Department's internal contract processing form has been modified to identify the CFDA # and total federal dollars associated with each of Washington Department of Fish and Wildlife's account payable (A/P) contracts. This information is included in the contract as well.</p> <p>The Department's awarding agreements and contracts now contain suspension/debarment provisions in their terms and conditions section.</p> <p>Amended Department procedures now specify that when a contract contains federal funds, a separate suspension/debarment certification will be collected from all non-procurement participants (subrecipients) and all procurement participants, when the contractual amount is \$100,000 or more.</p> <p>Completion Date: June 30, 2002</p>	Questioned Costs:	<u>CFDA #</u> 15.608	<u>Amount</u> \$0
Questioned Costs:	<u>CFDA #</u> 15.608	<u>Amount</u> \$0			

**State of Washington
Summary Schedule of Prior Audit Findings
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Programs Within the Departments of Community, Trade and Economic Development (CTED), Ecology, Fish and Wildlife and Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan											
01	18	Finding:	The State of Washington is not complying with suspension and debarment requirements for some of the federal programs it administers.										
			<u>Social and Health Services (DSHS)</u>										
		Questioned Costs:	<table><tr><td><u>CFDA #</u></td><td><u>Amount</u></td></tr><tr><td>93.563</td><td>\$0</td></tr><tr><td>93.566</td><td>\$0</td></tr><tr><td>93.658</td><td>\$0</td></tr><tr><td>93.778</td><td>\$0</td></tr></table>	<u>CFDA #</u>	<u>Amount</u>	93.563	\$0	93.566	\$0	93.658	\$0	93.778	\$0
<u>CFDA #</u>	<u>Amount</u>												
93.563	\$0												
93.566	\$0												
93.658	\$0												
93.778	\$0												
		Status:	Corrective action in progress										
		Corrective Action:	DSHS has taken corrective action both at the central administrative level and at major division or programs levels.										
			<u>Central Administrative Level</u> <ul style="list-style-type: none">• The Central Contract Services Unit (CCS) - A standard clause has been placed in the Client Services Contract, Section 10. The Unit has also developed a standard certification form with an accompanying question and answer sheet for use by agency programs. In addition, CCS has provided formal training on suspension/debarment federal requirements at a Key Contract Coordinators Meeting.• The Purchased Service Contracts staff has been updated on the Suspension and Debarment requirements and is obtaining certifications for all contracts for \$100,000 or more.										
			<u>Division or Program Level</u> <ul style="list-style-type: none">• Division of Child Support (DCS) – Sent a letter out to all counties requiring them to sign and return the suspension and debarment certification regardless of dollar amount. Also the desk manual was updated to include an annual certification process.• Medical Assistance Administration (MAA) – Once the program became aware of this regulation, they began requiring a form prior to the signing any new or renewed administrative match agreement. This practice started over a year and a half ago. In the past, nearly all school administrative match agreements were for a two-year contract period; therefore, at the end of this year almost all school ad match agreements will have a suspension and debarment form in place. MAA instituted an implementation method and has nearly fulfilled the goal of a suspension and debarment form for each school administrative match agreement.										

State of Washington
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Programs Within the Departments of Community, Trade and Economic Development (CTED), Ecology, Fish and Wildlife and Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan															
01	18	<p>Finding: The State of Washington is not complying with suspension and debarment requirements for some of the federal programs it administers.</p> <p><u>Social and Health Services (DSHS) Continued</u></p> <table> <tr> <td>Questioned Costs:</td><td><u>CFDA #</u></td><td><u>Amount</u></td></tr> <tr> <td></td><td>93.563</td><td>\$0</td></tr> <tr> <td></td><td>93.566</td><td>\$0</td></tr> <tr> <td></td><td>93.658</td><td>\$0</td></tr> <tr> <td></td><td>93.778</td><td>\$0</td></tr> </table> <p>Status: Corrective action in progress</p> <p>Corrective Action:</p> <ul style="list-style-type: none"> • Division of Alcohol and Substance Abuse (DASA) –The state of Washington Single Audit for FY 2000 contained a finding on Suspension/Debarment for DASA. As part of its corrective action response, effective July 2001, DASA had all new contracts include the standard certification provision developed by CCS. All existing contracts were subsequently similarly amended. In addition, DASA also collects a separate certification form from prospective providers during the provider intake process (evaluation phase prior to contract negotiation). • Economic Services Administration (ESA) – ESA programs must use the Contract Action Request form (CAR) when they want a contract processed. Clause no. 10 of the Contract template notifies contractors that, when requested by DSHS, they must sign the Suspension/Debarment certification. ESA requests this form to be completed and signed whenever federal funds are expended. • Children’s Administration (CA) – CA obtains a signed certification for every contract. Information went out in e-mail to CA Contract Mangers and their staff regarding the suspension and debarment form requirements. CA maintains a Contract Manager’s shared drive with useful information for CA Contract Managers. One of the items on the shared drive is the CA Contract Guidelines for Contract and Program Managers. <p>Completion Date: Estimated, March 2003</p>	Questioned Costs:	<u>CFDA #</u>	<u>Amount</u>		93.563	\$0		93.566	\$0		93.658	\$0		93.778	\$0
Questioned Costs:	<u>CFDA #</u>	<u>Amount</u>															
	93.563	\$0															
	93.566	\$0															
	93.658	\$0															
	93.778	\$0															

**State of Washington
Summary Schedule of Prior Audit Findings
For Years Prior to Fiscal Year 2002**

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Washington State University

Fiscal Year	Finding Number	Finding and Corrective Action Plan																		
01	19	<p>Finding: Seven of the state's colleges and universities are not complying with federal law for the return of student financial aid</p> <p><u>Washington State University (WSU)</u></p> <table> <tr> <td>Questioned</td><td><u>CFDA #</u></td><td><u>Amount</u></td></tr> <tr> <td>Costs:</td><td>84.007</td><td>\$0</td></tr> <tr> <td></td><td>84.032</td><td>\$0</td></tr> <tr> <td></td><td>84.038</td><td>\$0</td></tr> <tr> <td></td><td>84.063</td><td>\$0</td></tr> <tr> <td></td><td>84.268</td><td>\$0</td></tr> </table> <p>Status: Corrective action now completed for all schools.</p> <p>Corrective Action: On December 17, 2001, the Financial Aid office was repositioned in the reporting process so that it is the second department to receive notification that a student is withdrawing. Prior to this change, Financial Aid was the next to last department to receive notification, after other departments had finished their out-processing of the students. On January 3, 2002, a new field was added to the WSU online cancellation system. That new field, titled 'Date student notified WSU' will enable the Financial Aid office to receive withdrawal notifications early in the process, and further ensure that refunds are on a timely basis.</p> <p>Finally, all WSU personnel involved in the withdrawal process received training on the amended process. During the training emphasis was placed on processing student withdrawals in a timely manner.</p> <p>Completion Date: August 13, 2002</p>	Questioned	<u>CFDA #</u>	<u>Amount</u>	Costs:	84.007	\$0		84.032	\$0		84.038	\$0		84.063	\$0		84.268	\$0
Questioned	<u>CFDA #</u>	<u>Amount</u>																		
Costs:	84.007	\$0																		
	84.032	\$0																		
	84.038	\$0																		
	84.063	\$0																		
	84.268	\$0																		

State of Washington
Summary Schedule of Prior Audit Findings
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Department of Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan
00	1	<p>Finding: DSHS' Division of Alcohol and Substance Abuse (DASA) has not established sufficient internal controls over the federal Substance Abuse Prevention and Treatment Block Grant to ensure compliance with program requirements.</p> <p>Questioned Costs: <u>CFDA #</u> 93.959 <u>Amount</u> \$28,411,141</p> <p>Status: Corrective action in progress.</p> <p>Corrective Action: DASA submitted substantial documentation outlining its corrective actions to HHS on October 22, 2001. On December 4, 2001, HHS' Substance Abuse and Mental Health Services Administration issued a letter of determination accepting the corrective action taken on:</p> <ul style="list-style-type: none"> • Record documentation and payment review, • Subrecipient monitoring, • Suspension and debarment compliance, and • Documenting peer review independence <p>The letter also stated no financial adjustment was necessary. One issue was left for action by another branch of HHS – the status of county providers. That issue was answered in a letter of March 29, 2002. Counties that made programmatic decisions were to be treated as subrecipients irregardless of the legal authority for the contract. DASA is presently modifying its management and monitoring procedures to implement the county decision.</p> <p>Completion Date: December 2002</p>

State of Washington
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Department of Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan
00	2	<p>Finding: DSHS' Division of Child Support (DCS) did not comply with regulations for allowable and allocable costs in the Child Support Enforcement program.</p> <p>Questioned <u>CFDA #</u> <u>Amount</u> Costs: 93.563 \$276,680</p> <p>Status: Corrective action in progress.</p> <p>Corrective Action: Refer to corrective action on Finding 01-15. Questioned costs were reimbursed in two separate actions:</p> <ol style="list-style-type: none"> 1. Unallowable costs related to allocated costs for various committees [\$2,744] were returned on the June 2001 Federal Form ACF-396, and 2. Unallowable costs related to lack of proper time and effort documentation [\$233,604] and unallowable costs related to payments for fines and penalties [\$40,332] were returned in adjustments to the March 31, 2002 Federal Form ACF-396 <p>Completion Date: Estimated, March 2003</p>

State of Washington
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Department of Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan
00	03	<p>Finding: DSHS' Division of Child Support (DCS) did not report its total federal Child Support Enforcement program expenditures for the State of Washington Schedule of Expenditures of Federal Awards.</p> <p>Questioned Costs: <u>CFDA #</u> 93.563 <u>Amount</u> \$0</p> <p>Status: Corrective action completed.</p> <p>Corrective Action: HHS in a letter to the state of Washington, dated February 28, 2002, stated:</p> <ol style="list-style-type: none"> 1. They disagreed with the Auditor's finding regarding reducing total expenditures by program incentive amounts. DSHS and HHS officials now agree that Federal Expenditures will be reported as the total amount of Net Federal Share of Expenditures without any reduction for the amount of retained child support incentives (based upon child support collections). 2. The counties, with which the Division of Child Support contracts, make program determinations seemingly classifying them as subrecipients. <p>In a subsequent HHS determination letter dated March 29, 2002, the federal agency made it very clear that counties making program determinations should be classified as subrecipients under current federal regulation. As such, DSHS will be reporting funding to such organizations as Expenditure Amounts Passed Through to Subrecipients on future Schedules of Expenditures of Federal Awards.</p> <p>Completion Date: February 2002</p>

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Department of Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan
00	4	<p>Finding: DSHS does not have adequate controls in place to prevent overpayments of Child Care program expenditures.</p> <p>Questioned <u>CFDA #</u> <u>Amount</u> Costs: 93.596 \$25,985</p> <p>Status: Corrective action completed.</p> <p>Corrective Action: The Working Connections Automated Program (WCAP) and the Social Service Payment System (SSPS) were reviewed and evaluated for system changes that would provide edits necessary to preclude overpayments due to duplicate authorizations and /or authorizations that exceed the maximum number of days allowed. Neither system could be modified to the extent required without restricting the number of payment days in place for other Department users of SSPS or precluding exception to policy instances allowed under policy.</p> <p>SSPS designed a new monthly report for use by supervisors to identify and review concurrent payments for overpayments. Any overpayments identified are established and forwarded to the Office of Financial Recovery for collection. In addition, statewide overpayment training was provided to field staff.</p> <p>HHS accepted the proposed corrective action in a determination letter dated February 28, 2002. HHS also accepted DSHS' repayment adjustment for the questioned costs of \$25,985 reflected on the December 2001 CCDF SF-696 Report.</p> <p>Completion Date: March 2002</p>

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Employment Security Department (ESD)

Fiscal Year	Finding Number	Finding and Corrective Action Plan											
00	6	Finding:	ESD did not comply with regulations for allowable and allocable costs for the Unemployment Insurance, Wagner-Peyser and WorkFirst programs.										
		Questioned Costs:	<table><tr><td><u>CFDA #</u></td><td><u>Amount</u></td></tr><tr><td>17.207</td><td>\$195,689</td></tr><tr><td>17.225</td><td>511,904</td></tr><tr><td>93.558</td><td><u>64,518</u></td></tr><tr><td>Total</td><td>\$772,111</td></tr></table>	<u>CFDA #</u>	<u>Amount</u>	17.207	\$195,689	17.225	511,904	93.558	<u>64,518</u>	Total	\$772,111
<u>CFDA #</u>	<u>Amount</u>												
17.207	\$195,689												
17.225	511,904												
93.558	<u>64,518</u>												
Total	\$772,111												
		Status:	Corrective action in progress.										
		Corrective Action:	Time charging methodologies have been modified to ensure they are in compliance with federal cost principles. The Federal Department of Labor (DOL) has not yet initiated resolution of the questioned costs. The Federal Department of Health and Human Services (HHS) accepted ESD' additional substantiation information related to the questioned costs of \$64,518 and waived repayment of the funds in a Determination Letter dated February 28, 2002.										
		Completion Date:	Pending DOL management decision.										

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Peninsula College

Fiscal Year	Finding Number	Finding and Corrective Action Plan					
00	10	Finding:	Peninsula College charged unallowable costs to a federal program.				
		Questioned Costs:	<table><tr><td><u>CFDA #</u></td><td><u>Amount</u></td></tr><tr><td>84.031</td><td>\$78,131</td></tr></table>	<u>CFDA #</u>	<u>Amount</u>	84.031	\$78,131
<u>CFDA #</u>	<u>Amount</u>						
84.031	\$78,131						
		Status:	Corrective action completed.				
		Corrective Action:	Pursuant to a program determination letter from the Department of Education, dated January 16, 2002, Peninsula College refunded the questioned cost amount. The refund was by check in the amount of \$78,131 dated February 7, 2002. The refund was confirmed by the Department of Education on a Refund Report dated February 20, 2002.				
		Completion Date:	February 20, 2002				

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Programs Within the Departments of Ecology, and Social and Health Services (DSHS)

Fiscal Year	Finding Number	Finding and Corrective Action Plan		
00	12	Finding:	The State of Washington is not complying with subrecipient monitoring requirements for some of the federal programs it administers.	
		Questioned Costs:	<u>CFDA #</u> 66.001 66.458 93.563 93.778 93.959	<u>Amount</u> \$0 \$0 \$0 \$0 Refer to Finding 00-1
		Status:	Corrective action in progress	
		Corrective Action:	Refer to corrective action described in 01-17	
		Completion Date:	Estimated, March 2003	

